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ATTORNEY DOCKET NO
11321-P014US

PATENT
09/935,995



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Smalley, et al.
Serial No.: 09/935,995
Filed: 08/23/2001
Title: POLYMER-WRAPPED SINGLE WALL CARBON NANOTUBES
Confirmation No.: 1538
Art Unit: 1773
Examiner: unassigned

Assistant Commissioner for Patents
Box Customer Service Center
Initial Patent Examination Division
Missing Parts
Washington, D.C. 20231

Certificate of First Class Mailing

This document is being deposited with the U.S. Postal Service as U.S. First Class Mail with sufficient postage, in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

11/27/01
Date

Victoria M. Ange
Signature *Victoria M. Ange*

Nov 27, 2001
Date

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
FILING DATE GRANTED**

In response to the Notice to File Missing Parts of Nonprovisional Application under 37 CFR 1.63 dated October 9, 2001, enclosed are the following documents:

1. A 5 page Declaration for Utility Patent Application, fully executed by each inventor;
2. Individual Powers of Attorney or Authorization of Agent (4 pages), signed by each inventor;
3. A 1 page Statement Under 37 CFR §3.73(b) with attached Power of Attorney or Authorization of Agent, fully executed by Assignee (2 pages);
4. A 3 page, fully executed Assignment, with Assignment cover sheet and check in the amount of \$40.00 for recordal of assignment fee;
5. A check in the amount of \$65.00 to cover the fees for Missing Parts;

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6. PTO/SB/ fee transmittal sheet listing both the Missing Parts Response Fee and the Assignment Recordal Fee as well as confirming the Small Entity Status of the Applicants/Assignee;
7. Part 2 -- Copy of the Notice to File Missing Parts of Nonprovisional Application to be returned with Response;
8. Part 2 -- Copy of the Cover Letter for Resending Correspondence to be returned with Response;
9. Change of Correspondence Address; and
10. Postal Receipt Card.

It is believed that no additional fee is due. If this is incorrect, the Commissioner is hereby authorized to charge any fees which may be required by this paper to Deposit Account No. 23-2426.

Respectfully submitted,

WINSTEAD SECHREST & MINICK
Attorneys for Applicant

By: 

Ross Spencer Garsson
Reg. No. 38,150

P.O. Box 50784
1201 Main Street
Dallas, Texas 75250-0784
(512) 370-2870
Date: November 21, 2001
DALLAS_11356236412
11/20/2001 - 11321-P014US

Attorney's Docket: 11321-P014US

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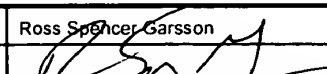
PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

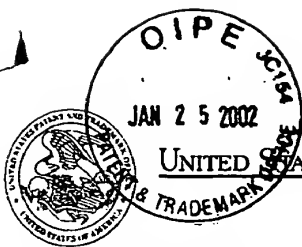
FEE TRANSMITTAL for FY 2002 <small>Patent fees are subject to annual revision.</small>		Complete if Known	
		Application Number	09/935,995
		Filing Date	08/23/2001
		First Named Inventor	Smalley
		Examiner Name	Not yet assigned
		Group Art Unit	1773
TOTAL AMOUNT OF PAYMENT (\$)		105.00	
		Attorney Docket No.	11321-P014US

METHOD OF PAYMENT		FEE CALCULATION (continued)																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 23-2426 Deposit Account Name: Winstead Sechrest & Minick P.C. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES																													
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other																															
FEE CALCULATION																															
1. BASIC FILING FEE																															
<table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101 740</td><td>201 370</td><td>Utility filing fee</td><td></td></tr><tr><td>106 330</td><td>206 165</td><td>Design filing fee</td><td></td></tr><tr><td>107 510</td><td>207 255</td><td>Plant filing fee</td><td></td></tr><tr><td>108 740</td><td>208 370</td><td>Reissue filing fee</td><td></td></tr><tr><td>114 160</td><td>214 80</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="3">SUBTOTAL (1) (\$)</td><td></td></tr></tbody></table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 740	201 370	Utility filing fee		106 330	206 165	Design filing fee		107 510	207 255	Plant filing fee		108 740	208 370	Reissue filing fee		114 160	214 80	Provisional filing fee		SUBTOTAL (1) (\$)					
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2. EXTRA CLAIM FEES																															
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*or number previously paid, if greater; For Reissues, see above																															
		40.00																													
		105.00																													

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150
Signature		Telephone	512.370.2870
		Date	21 November 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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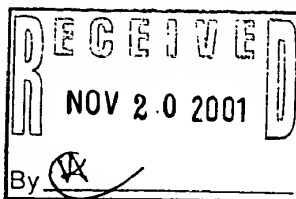
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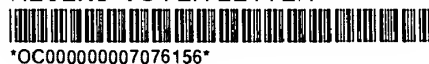
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/935,995	08/23/2001	Richard E. Smalley	11321-P014US

Winstead Sechrest & Minick P.C.
5400 Renaissance Tower
Dallas, TX 75270-2199



CONFIRMATION NO. 1538
RESEND COVER LETTER



OC000000007076156

Date Mailed: 11/15/2001

COVER LETTER FOR RESENDING CORRESPONDENCE

A courtesy copy of the Notice mailed on 10/09/2001 is enclosed. The time period for reply continues to run from the mail date of that Notice.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Section
#3

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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/935,995	08/23/2001	Richard E. Smalley	11321-P014US

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CONFIRMATION NO. 1538

FORMALITIES LETTER



OC000000006872668

Winstead Sechrest & Minick P.C.
5400 Renaissance Tower
Dallas, TX 75270-2199

Date Mailed: 10/09/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

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01/29/2002 HTECKLU1 00000047 09935995

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